

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/823,846	03/30/2001	Pascal Bensoussan	M-9972US

CONFIRMATION NO. 7000

FORMALITIES LETTER



OC000000006076154

JOSEPH HOLLINGER
Skjerven Morrill MacPherson LLP
Suite 2800
3 Embarcadero Center
San Francisco, CA 94111

Date Mailed: 05/15/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$18.
 - \$18 for 2 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 438.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

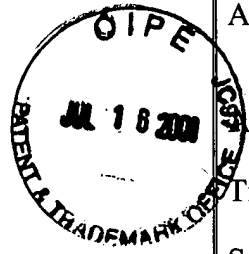
PART 2 - COPY TO BE RETURNED WITH RESPONSE

09823846

07/20/2001 BNGUYEN1 00000129 192386

355.00 CH
65.00 CH
18.00 CH

01 FC:201
02 FC:205
03 FC:203



07-18-01 sector #1/3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Pascal Bensoussan, Paul Dagum, Adam Galper, Michael Goldbach,
Balazs Kralik, Vivek Vaidya

Assignee: Rapt, Inc.

Title: Method and Apparatus for Component Plan Analysis under Uncertainty

Serial No.: 09/823,846 Filing Date: March 30, 2001

Examiner: Unknown Group Art Unit: Unknown

Docket No.: M-9972 US

San Francisco, California
July 16, 2001

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION -
FILING DATE GRANTED

Dear Sir:

In response to the "Notice to File Missing Parts of Application—Filing Date Granted" mailed by the United States Patent and Trademark Office on May 15, 2001, the following documents are enclosed to complete the filing of the above-identified patent application:

1. A declaration signed by the inventors in compliance with 37 CFR 1.63.
2. Copy of Notice to File Missing Parts of Application - Filing Date Granted.
3. Petition For Corrected Filing Receipt.

The United States Patent and Trademark Office is hereby authorized to charge the following fees to Deposit Account No. 19-2386:

- | | |
|--|----------|
| 1. Surcharge for filing declaration on a date later than the filing date of the application. | \$65.00 |
| 2. Statutory basic filing fee. | \$355.00 |

LAW OFFICES OF
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(408) 453-9200
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3. Additional Claim fees in excess of 20 claims (2 claims over 20) 18.00

4. TOTAL FEES: \$ 438.00

The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account No. 19-2386.

It is hereby respectfully submitted that the enclosed documents complete the filing of the above-identified patent application and justify the filing date of March 30, 2001. Please telephone the undersigned at (415) 217-6000, if there are any questions. This form is being submitted in duplicate.

EXPRESS MAIL LABEL NO:

EL707910455US

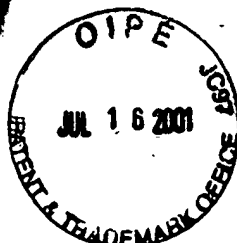
Respectfully submitted,



Joseph K. Hollinger
Attorney for Applicants
Reg. No. 40,649

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#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Pascal Bensoussan, Paul Dagum, Adam Galper, Michael Goldbach,
Balazs Kralik, Vivek Vardya

Assignee: Rapt, Inc.

Title: Method and Apparatus for Component Plan Analysis under Uncertainty

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BOX MISSING PARTS
COMMISSIONER FOR PATENTS
Washington, D. C. 20231

Attention: Application Processing Division, Customer Correction Branch

PETITION FOR CORRECTED FILING RECEIPT

Dear Sir:

Applicants hereby petition the Commissioner For Patents to correct the Official Filing

Receipt for the above-identified patent application as follows:

- ☐ 1. Correct the Filing Date
- ☐ 2. Correct Inventor Name
- ☒ 3. Correct Title
- ☐ 4. Correct information referencing related case
- ☐ 5. Correct Attorney Docket Number
- ☐ 6. Other: _____

This Petition is submitted for the following reasons:

The title of the application is incorrect. The title should read "METHOD AND
APPARATUS FOR COMPONENT PLAN ANALYSIS UNDER UNCERTAINTY."

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Because this was not an error on the part of Applicants, Applicants believe no fee is required. However, the Commissioner is hereby authorized to charge any fee that may be required for this correction to Deposit Account No. 19-2386.

Attached is a copy of the Filing Receipt having the above errors and the changes noted thereon, as well as copies of the Declaration and Transmittal Letter. Therefore, it is respectfully requested that a corrected Filing Receipt be issued.

If this action does not lead to issuance of a corrected Official Filing Receipt as requested, please contact the undersigned at (415) 217-6000.

EXPRESS MAIL LABEL NO:

EL707910455US

Respectfully submitted,

Joseph K. Hollinger
Attorney for Applicants
Reg. No. 40,649

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/823,846	03/30/2001	2182	0.00	M-9972US	6	22	3

CONFIRMATION NO. 7000

FILING RECEIPT



OC00000006076153

JOSEPH HOLLINGER
Skjerven Morrill MacPherson LLP
Suite 2800
3 Embarcadero Center
San Francisco, CA 94111

Date Mailed: 05/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Pascal Bensoussan, Residence Not Provided;
Paul Dagum, Residence Not Provided;
Adam Galper, Residence Not Provided;
Michael Goldbach, Residence Not Provided;
Balazs Kralik, Residence Not Provided;
Vivek Vaidya, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 05/14/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

** SMALL ENTITY **

Title

Method and apparatus for component plan analysis

under uncertainty

Preliminary Class

710

Data entry by : ASRAT, FANAYE

Team : OIPE

Date: 05/15/2001

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to: